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Attorney Docket No.  
**D/A1063D**

on      11/25/03  
Date

Francie S. LePore  
Francie S. LePore

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of Joel A. Kubby et al.

Group Art Unit:

Application No.: (not assigned yet)

Examiner:

Filed: (concurrently herewith)

For: MONOLITHIC RECONFIGURABLE OPTICAL MULTIPLEXER SYSTEMS AND METHODS

Commissioner for Patents  
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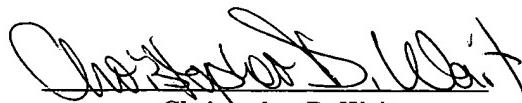
Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form, except for U.S. Patents or published U.S. applications. It is respectfully requested that the references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), **OR** (b) before the mailing date of a first Office Action on the merits. *No certification or fee is required.*
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (*A copy of this paper is attached.*)
- 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**
  - a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); (**OR**)

- b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
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- 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.
- 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.
- 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. 09/986,395, filed 11/08/2001, which is relied upon under 35 U.S.C. §120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).
- 8. A copy of each copending application recited in the parent application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.



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Signature under 37 CFR 1.33 & 34

Registration No. 43,230

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Date 11/25/2003

Form PTO-1449 (REV. 8-83)		US Dept. of Commerce PATENT & TRADEMARK OFFICE	ATTY DOCKET NO. <b>DYA1063D</b>	APPLICATION NO. New U.S. Patent Application		
INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)		APPLICANT(S) Joel A. KUBBY, Pinyen LIN, Jingkuang CHEN, Yi SU				
		FILING DATE				
U.S. PATENT DOCUMENTS						
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
		5,612,815	03/18/1997	Labeye et al.		
		5,002,350	03/26/1991	Dragone		
		5,002,354	03/26/1991	Koai		
		5,261,015	11/09/1993	Glasheen		
FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)						
		Cornel Marxer et al., "Micro-Opto-Mechanical 2 X 2 Switch for Single-Mode Fibers Based on Plasma-Etched Silicon Mirror and Electrostatic Actuation", Journal of Lightwave Technology, Vol. 17, No. 1, January 1999				
		Shi-Sheng Lee et al., "Free-Space Fiber-Optic Switches Based on MEMS Vertical Torsion Mirrors", Journal of Lightwave Technology, Vol. 17, No. 1, January 1999				
		Hiroshi Toshiyoshi et al., "Electrostatic Micro Torsion Mirrors for an Optical Switch Matrix", Journal of Microelectromechanical Systems, Vol. 5, No. 4, December 1996				
		Hiroshi Toshiyoshi et al., "Electromagnetic Torsion Mirrors for Self-Aligned Fiber-Optic Crossconnectors by Silicon Micromachining", IEEE Journal of Selected Topics in Quantum Electronics, Vol. 5, No. 1, January/February 1999				
		L. Y. Lin et al., "Free-Space Micromachined Optical Switches for Optical Networking", IEEE Journal of Selected Topics in Quantum Electronics, Vol. 5, No. 1, January/February 1999				
		A. Azzam Yasseen et al., "A Rotary Electrostatic Micromotor 1 X 8 Optical Switch", IEEE Journal of Selected Topics in Quantum Electronics, Vol. 5, No. 1, January/February 1999				
		Joseph E. Ford et al., "Wavelength Add-Drop Switching Using Tilting Micromirrors", Journal of Lightwave Technology, Vol. 17, No. 5, May 1999				
		B. Jalali et al., "Advances in Silicon-on-Insulator Optoelectronics", IEEE Journal of Selected Topics in Quantum Electronics, Vol. 4, No. 6, November/December 1998				
		M.R.T. Pearson et al., "Arrayed waveguide grating demultiplexers in silicon-on-insulator", Ontario, Canada				
		E. Ollier et al., "Micro-opto mechanical switch integrated on silicon", Electronics Letters, Vol. 31, No. 23, November 1995				
		E. Ollier et al., "Integrated electrostatic micro-switch for optical fibre networks driven by low voltage", Electronics Letters, Vol. 32, No. 21, October 1996				
		Terry T. H. Eng et al., "Micromechanical Optical Switching with Voltage Control Using SOI Movable Integrated Optical Waveguides", IEEE Photonics Technology Letters, Vol. 7, No. 11, November 1995				
		"Arrayed Waveguide Grating Multiplexer/Demultiplexer", Lucent Technologies, January 2000				
EXAMINER					DATE CONSIDERED	
Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.						

Form PTO-1449	US Dept. of Commerce PATENT & TRADEMARK OFFICE	ATTY DOCKET NO. D/A1063D	APPLICATION NO.
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		APPLICANT Joel A. Kubby et al.	
		FILING DATE	GROUP ART UNIT

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE	CLASS	SUB CLASS
	5,999,290	12/7/99	Li	359	127
	6,385,362	5/7/02	Norwood	385	14
	6,445,841	9/3/02	Gloeckner et al.	385	17

## FOREIGN PATENT DOCUMENTS

	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	TRANSLATION Y/N

## OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)


EXAMINER

DATE CONSIDERED

Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.